



Billing Code: 8025-01

SMALL BUSINESS ADMINISTRATION

Privacy Act of 1974: Revision of Privacy Act System of Records

AGENCY: Small Business Administration (SBA)

ACTION: Notice of Revision of Privacy Act Systems of Records

SUMMARY: SBA is revising the Privacy Act Systems of Records for the Loan System, SBA 21 (“SOR 21”) and the Suspension and Debarment Files, SBA 36 (“SOR 36”), to add new and revised routine uses, to expand the categories of covered individuals and categories of records, and to update the systems’ managers and the systems’ locations. SBA is also updating Appendix A to the Agency’s Systems of Records to reflect recent office relocations. This notice is in accordance with the Privacy Act requirement that agencies publish their amended Systems of Records in the Federal Register when there is a revision, change or addition to the systems.

DATES: Written comments on the revisions to the SBA’s SOR 21 and SOR 36 Systems of Records are due **[INSERT DATE 30 DAYS AFTER PUBLICATION IN THE FEDERAL REGISTER]**. The changes to these Systems of Records are effective without further notice on **[INSERT DATE 45 DAYS AFTER PUBLICATION IN THE FEDERAL REGISTER]** unless comments are received that result in further revision.

Based on SBA’s review of comments received, if any, SBA will publish a notice if it determines to make changes to the system notices.

ADDRESSES: Written comments on the revisions to the SBA’s SOR 21 and SOR 36 Systems of Records should be directed to Ingrid Ripley, Program Analyst U. S. Small

Business Administration, 409 3rd Street, SW, Washington, DC 20416. When submitting comments please identify whether comments are related to SOR 21 or SOR 36.

FOR FURTHER INFORMATION CONTACT: Ingrid Ripley, Program Analyst, (202) 205-7538.

SUPPLEMENTARY INFORMATION: SBA is amending its Privacy Act System of Records Notice, which was previously published at 74 FR 14890 (April 1, 2009), to amend System 21 (Loan System), System 36 (Suspension and Debarment Files), and Appendix A.

System 21 - Loan System.

SBA is revising the routine uses provisions of its Privacy Act Systems of Records, Loan System, SBA 21 (“SOR 21”) to add three new uses, designated as paragraphs l, m, and n, to include Loan Agent review processes and additional regulatory processes. The processes include, but are not limited to, the Agency’s new processes for: (i) compiling and reviewing loan agent data, (ii) disclosing to GSA loan agent enforcement actions and exclusions under 13 CFR Part 103 for purposes of publication in GSA’s Excluded Parties List System, and (iii) disclosing to others (e.g., regulators) SBA supervisory information for regulatory purposes. In addition, SBA is amending SOR 21 to update the SOR 21 System Location and Managers, and Categories of Individuals and Records, to provide a definition for loan agents, and amending routine use lettered “d” regarding disclosure to law enforcement, professional and procurement organizations.

SBA System 36 – Suspension and Debarment Files.

SBA is amending the System of Records for Suspension and Debarment Files, SBA 36, (“SOR 36”), to add a new routine use and to update the System Location, System Manager, Categories of Individuals and Categories of Records provisions.

SBA is also amending the routine uses provisions in SOR 36 in order to meet the requirements of Executive Order 12549 and other applicable law. This amendment will allow SBA to transfer certain parties’ identifying information to GSA for publication on the Excluded Parties List System (the “EPLS”). The parties whose identifying information will be subject to disclosure to the EPLS are those that have been suspended or debarred from participating in SBA programs, that have agreed to exclusion from participation, or that have been declared ineligible, under 2 CFR Parts 180 and 2700 or other applicable law, or that have been the subject of enforcement actions under Part 103 (other than Loan Agents in SBA Business Loan Programs, which are covered by SOR 21).

SOR 36 currently consists of materials compiled from investigations and/or audits which identify violations which may be cause for suspension or debarment pursuant to the Federal Acquisition Regulations or the government-wide non-procurement suspension and debarment regulations. These materials include indictments, information, plea agreements, judgments, loan agreements, contract documents, etc., that pertain to a party’s participation in government contracts, SBA loan programs, and other SBA assistance. Through the EPLS, government agencies and the public can search and ascertain the SBA enforcement or exclusion status of those parties. These searches may be performed, for example, for purposes of determining government contract eligibility. Finally, SBA is amending SOR 36 to expand the System Location to include all of SBA

Headquarters, and the System Manager section to include Headquarters Suspension and Debarment officials, is revising the Categories of Records and Categories of Individuals sections, and is amending routine use lettered “a” regarding disclosure to law enforcement, professional and procurement organizations.

Appendix A.

Finally, SBA is amending Appendix A to update the addresses of various offices that have been relocated or to remove addresses for those offices that have closed since the list was last published.

APPENDIX A

HEADQUARTERS

409 Third St., S.W.

Washington, D.C. 20416

BOSTON REGIONAL OFFICE

10 Causeway St., Suite 265

Boston, MA 02222-1093

NEW YORK REGIONAL OFFICE

26 Federal Plaza, Suite 3108

New York, NY 10278

PHILADELPHIA REGIONAL OFFICE

1150 First Ave., Suite 1001

King of Prussia, PA 19406

ATLANTA REGIONAL OFFICE

233 Peachtree St., N.E., Suite 1800

Atlanta, GA 30303

CHICAGO REGIONAL OFFICE

500 West Madison St., Suite 1150

Chicago, IL 60661-2511

DALLAS REGIONAL OFFICE

4300 Amon Carter Blvd., Suite 108

Fort Worth, TX 76155

KANSAS CITY REGIONAL OFFICE

1000 Walnut, Suite 530

Kansas City, MO 64106

DENVER REGIONAL OFFICE

721 19th St., Suite 400

Denver, CO 80202

SAN FRANCISCO REGIONAL OFFICE

455 Market St., Suite 600

San Francisco, CA 94105

SEATTLE REGIONAL OFFICE

2401 Fourth Ave., Suite 400

Seattle, WA 98121

SBA DISTRICT OFFICES AND BRANCH OFFICES

Region I

MAINE DISTRICT OFFICE

68 Sewall St., Room 512

Augusta, ME 04330

MASSACHUSETTS DISTRICT OFFICE

10 Causeway St., Suite 265

Boston, MA 02222-1093

NEW HAMPSHIRE DISTRICT OFFICE

55 Pleasant St., Suite 3101

Concord, NH 03301

CONNECTICUT DISTRICT OFFICE

330 Main St., 2nd Floor

Hartford, CT 06106

VERMONT DISTRICT OFFICE

87 State St., Suite 205

Montpelier, VT 05602

RHODE ISLAND DISTRICT OFFICE

380 Westminster Mall, Rm. 511

Providence, RI 02903

SPRINGFIELD BRANCH OFFICE

One Federal Street Building 101R

Springfield, MA 01105

Region II

BUFFALO DISTRICT OFFICE

130 S. Elmwood Ave., Suite 540

Buffalo, NY 14202

ELMIRA BRANCH OFFICE

333 E. Water St., 4th Floor

Elmira, NY 14901

LONG ISLAND BRANCH OFFICE

350 Motor Parkway, Suite 109

Hauppauge, NY 11788

NEW JERSEY DISTRICT OFFICE

Two Gateway Center, Suite 1501

Newark, NJ 07102

NEW YORK DISTRICT OFFICE

26 Federal Plaza, Rm. 3100

New York, NY 10278

PUERTO RICO & VIRGIN ISLANDS DISTRICT OFFICE

273 Ponce De Leon Avenue.

Scotiabank Plaza Suite 510

San Juan, Puerto Rico 00917

ROCHESTER BRANCH OFFICE

100 State Street, Suite 410

Rochester, NY 14614

SYRACUSE DISTRICT OFFICE

224 Harrison St., Suite 506

Syracuse, NY 13202

ST. CROIX Post of Duty

3013 Estate Golden Rock, Rm. 167

Christiansted, VI 00820

Region III

MARYLAND DISTRICT OFFICE

10 S. Howard St., Suite 6220

Baltimore, MD 21201-2525

CHARLESTON BRANCH OFFICE

405 Capitol St., Suite 412

Charleston, WV 25301

WEST VIRGINIA DISTRICT OFFICE

320 West Pike St. Suite 330

Clarksburg, WV 26301

PHILADELPHIA DISTRICT OFFICE

Parkview Tower

1150 First Ave., Suite 1001

King of Prussia, PA 19406

PITTSBURGH DISTRICT OFFICE

411 Seventh Ave., Suite 1450

Pittsburgh, PA 15219-1905

RICHMOND DISTRICT OFFICE

400 North 8th St., Suite 1150

Richmond, VA 23219

WASHINGTON D.C. DISTRICT OFFICE

740 15th St., N.W., Suite 300

Washington, D.C. 20005

DELAWARE DISTRICT OFFICE

1007 N. Orange St., Suite 1120

Wilmington, DE 19801-3011

Region IV

GEORGIA DISTRICT OFFICE

233 Peachtree Rd., N.E., Suite 1900

Atlanta, GA 30303

ALABAMA DISTRICT OFFICE

801 Tom Martin Dr., Suite 201

Birmingham, AL 35211

NORTH CAROLINA DISTRICT OFFICE

6302 Fairview Rd., Suite 300

Charlotte, NC 28210-2234

SOUTH CAROLINA DISTRICT OFFICE

1835 Assembly St., Suite 1425

Columbia, SC 29201

GULFPORT BRANCH OFFICE

2510 14th St., Suite 103

Gulfport, MS 39501-1949

MISSISSIPPI DISTRICT OFFICE

Region Plaza

210 E. Capitol St., Suite 900

Jackson, MS 39201

NORTH FLORIDA DISTRICT OFFICE

7825 Baymeadows Way, Suite 100-B

Jacksonville, FL 32256-7504

KENTUCKY DISTRICT OFFICE

600 Dr. M.L. King Jr. Place, Rm. 188

Louisville, KY 40202

SOUTH FLORIDA DISTRICT OFFICE

100 S. Biscayne Blvd, 7th Floor

Miami, FL 33131

TENNESSEE DISTRICT OFFICE

50 Vantage Way, Suite 201

Nashville, TN 37228-1500

Region V

ILLINOIS DISTRICT OFFICE

500 West Madison St., Suite 1150

Chicago, IL 60661-2511

CINCINNATI BRANCH OFFICE

525 Vine St., Suite 1030

Cincinnati, OH 45202

CLEVELAND DISTRICT OFFICE

1350 Euclid Ave., Suite 211

Cleveland, OH 44115

COLUMBUS DISTRICT OFFICE

401 N. Front St, Suite 200

Columbus, OH 43215-2542

MICHIGAN DISTRICT OFFICE

477 Michigan Ave., Suite 515

Detroit, MI 48226

INDIANA DISTRICT OFFICE

8500 Keystone Crossing, Suite 400

Indianapolis, IN 46204-1873

WISCONSIN (MILWAUKEE) DISTRICT OFFICE

310 West Wisconsin Ave., Room 400

Milwaukee, WI 53203

MINNESOTA DISTRICT OFFICE

100 North 6th St., 210-C

Minneapolis, MI 55403

WISCONSIN (MADISON) DISTRICT OFFICE

740 Regent St., Suite 100

Madison, WI 53715

SPRINGFIELD BRANCH OFFICE

330 Ginger Creek Road, Suite B

Springfield, IL 62711

Region VI

NEW MEXICO DISTRICT OFFICE

625 Silver Ave., S.W., Suite 320

Albuquerque, NM 87102

CORPUS CHRISTI BRANCH OFFICE

3649 Leopard St., Suite 411

Corpus Christi, TX 78408

DALLAS/FT. WORTH DISTRICT OFFICE

4300 Amon Carter Blvd., Suite 114

Ft Worth, TX 76155

EL PASO DISTRICT OFFICE

211 North Florence St., 2nd Floor Suite 201

El Paso, TX 79901

HOUSTON DISTRICT OFFICE

8701 S. Gessner Dr., Suite 1200

Houston, TX 77074

ARKANSAS DISTRICT OFFICE

2120 Riverfront Dr., Suite 250

Little Rock, AR 72202

LOWER RIO GRANDE VALLEY DISTRICT OFFICE

222 E. Van Buren St., Rm. 500

Harlingen, TX 78550-6855

LUBBOCK DISTRICT OFFICE

1205 Texas Ave., Room 408

Lubbock, TX 79401-2693

LOUISIANA DISTRICT OFFICE

365 Canal St., Suite 2820

New Orleans, LA 70130

OKLAHOMA DISTRICT OFFICE

301 Northwest 6th St., Suite 116

Oklahoma City, OK 73102

SAN ANTONIO DISTRICT OFFICE

17319 San Pedro, Bldg #2, Suite 200

San Antonio, TX 78232

Region VII

CEDAR RAPIDS BRANCH OFFICE

2750 1st Ave. N.E., Suite 350

Cedar Rapids, IA 52402

DES MOINES DISTRICT OFFICE

210 Walnut St., Room 749

Des Moines, IA 50309-2186

KANSAS CITY DISTRICT OFFICE

1000 Walnut Street, Suite 500

Kansas City, MO 64106-

NEBRASKA DISTRICT OFFICE

10675 Bedford Ave., Suite 100

Omaha, NB 68134

SPRINGFIELD BRANCH OFFICE

830 East Primrose, Suite 101

Springfield, MO 65807-5254

ST. LOUIS DISTRICT OFFICE

1222 Spruce Street, Suite 10.103

St. Louis, MO 63103

WICHITA DISTRICT OFFICE

271 West Third St. North, Suite 2500

Wichita, KS 67202-1212

Region VIII

WYOMING DISTRICT OFFICE

100 East B Street, Rm. 4001

P.O. Box 44001

Casper, WY 82602

COLORADO DISTRICT OFFICE

721 19th St., Suite 426

Denver, CO 80202

NORTH DAKOTA DISTRICT OFFICE

657 Second Ave. North, Room 218

Fargo, ND 58108

MONTANA DISTRICT OFFICE

10 West 15th St., Suite 1100

Helena, MT 59626

UTAH DISTRICT OFFICE

125 South State St., Room 2227

Salt Lake City, UT 84138

SOUTH DAKOTA DISTRICT OFFICE

2329 North Career Ave., Suite 105

Sioux Falls, SD 57107

Region IX

GUAM DISTRICT OFFICE

400 Route 8, Suite 302

Hagatna, GU 96910-2003

FRESNO DISTRICT OFFICE

801 R St., Suite 201

Fresno, CA 93721

HAWAII DISTRICT OFFICE

500 Ala Moana Blvd., Suite 1-306

Honolulu, HI 96813

NEVADA DISTRICT OFFICE

400 South 4th St., Suite 250

Las Vegas, NV 89101

LOS ANGELES DISTRICT OFFICE

330 North Brand Blvd., Suite 1200

Glendale, CA 91203-2304

ARIZONA DISTRICT OFFICE

2828 North Central Ave., Suite 800

Phoenix, AZ 85004-1025

SACRAMENTO DISTRICT OFFICE

6501 Sylvan Rd., Suite 100

Citrus Heights, CA 95610-5017

SAN DIEGO DISTRICT OFFICE

550 West C St., Suite 550

San Diego, CA 92101-3500

SAN FRANCISCO DISTRICT OFFICE

455 Market St., Suite 600

San Francisco, CA 94105-2445

SANTA ANA DISTRICT OFFICE

200 West Santa Ana Blvd., Suite 700

Santa Ana, CA 92701

Region X

ALASKA DISTRICT OFFICE

420 L St., Suite 300

Anchorage, AK 99501

BOISE DISTRICT OFFICE

380 East Parkcenter Blvd., Suite 330

Boise, ID 83706

OREGON DISTRICT OFFICE

601 SW Second Ave., Suite 950

Portland, OR 97204

SEATTLE DISTRICT OFFICE

2401 Fourth Ave., Suite 450

Seattle, WA 98121

SPOKANE BRANCH OFFICE

801 West Riverside, Suite 444

Spokane, WA 99201

SPOKANE DISTRICT OFFICE

801 West Riverside Ave., Suite 200

Spokane, WA 99201-0901

SBA DISASTER LOAN MAKING CENTERS

DCMS OPERATIONS CENTER

13221 Woodland Park Rd.

Herndon, VA 20174

DISASTER ASSISTANCE CUSTOMER SERVICE CENTER

130 South Elmwood Avenue Suite 516

Buffalo, NY 14202

DISASTER FIELD OPERATIONS CENTER - EAST

101 Marietta Street, Suite 700

Atlanta, GA 30303

DISASTER LOAN PROCESSING AND DISBURSEMENT CENTER

14925 Kingsport Rd.

Fort Worth, TX 76155-2243

DISASTER FIELD OPERATIONS CENTER - WEST

P.O. Box 419004

Sacramento, CA 95841-9004

SBA DISASTER LOAN SERVICING CENTERS

BIRMINGHAM HOME LOAN SERVICING CENTER

801 Tom Martin Drive, Suite #120

Birmingham, AL 35211

EL PASO LOAN SERVICING CENTER

10737 Gateway West, Suite 300

El Paso, TX 79935

NATIONAL DISASTER HOME RESOLUTION CENTER

200 W. Santa Ana Blvd.

Santa Ana, CA 92701

COMMERCIAL LOAN SERVICING CENTERS

FRESNO COMMERCIAL LOAN SERVICING CENTER

801 R St., Suite 101

Fresno, CA 93721

NATIONAL DISASTER LOAN RESOLUTION CENTER

200 West Santa Ana Boulevard

Santa Ana, CA 92701

LITTLE ROCK COMMERCIAL LOAN SERVICING CENTER

2120 Riverfront Dr., Suite 100

Little Rock, AR 72202

OFFICE OF THE INSPECTOR GENERAL

Office of Inspector General

409 Third Street, S.W.

Washington, D.C. 20416

Office of Inspector General Investigation Division

409 Third Street, S.W.

Washington, D.C. 20416

Office of Inspector General Auditing Division

409 Third Street, S.W.

Washington, D.C. 20416

Office of Inspector General Counsel Division

409 Third Street, S.W.

Washington, D.C. 20416

Office of Inspector General Management & Policy Division

409 Third Street, S.W.

Washington, D.C. 20416

Dallas/Fort Worth Inspector General Auditing

4300 Amon Carter Blvd., Suite 116

Fort Worth, TX 76155

Chicago Inspector General Investigations Division

801 Warrenville Road, Suite 230

Lisle Chicago, IL 60532

Dallas/Fort Worth Inspector General Investigations Division

4300 Amon Carter Blvd., Suite 116

Fort Worth, TX 76155-2653

Detroit Inspector General Investigations Division

477 Michigan Avenue, Suite 515

Detroit, MI 48266

Houston Inspector General Investigations Division

8701 South Gessnar Drive, Suite 1200

Houston, TX 77074

Kansas City Inspector General Investigations Division

1000 Walnut Street, Suite 510

Kansas City, MO 64106

Miami Inspector General Investigations Division

Claude Pepper Federal Building

51 SW 1st Avenue, Suite 1325

Miami, FL 33130

New Orleans Inspector General Auditing Division and Investigations Divisions

365 Canal Street, Suite 2420

New Orleans, LA 70130

New York Inspector General Investigations Division

26 Federal Plaza, Rm. 41-100

New York, NY 10278

Philadelphia Inspector General Investigations Division

Curtis Center Room 860W

601 Walnut Street

Philadelphia, PA 19106

Tacoma Inspector General Investigations Division

33400 9th Avenue

Federal Way, WA 98003

SYSTEM NAME: Loan System – SBA 21

SYSTEM LOCATION: Headquarters, Regional Offices, District Offices, Branch Offices, Processing Centers, Purchase Centers, and Servicing Centers. *See Appendix A.*

SYSTEM MANAGER AND ADDRESS:

Associate Administrator for Capital Access; Director, Office of Credit Risk Management; Director, Office of Financial Assistance; Regional Administrators; District Directors; Branch Managers; Commercial Loan Service Center Directors; National Guaranty Purchase Center Director; Sacramento Loan Processing Center Director; Standard 7(a) Loan Guaranty Processing Center Directors. *See Appendix A.*

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM INCLUDE:

Individuals (i.e., borrowers, guarantors, principals of businesses named in loan records, loan agents), throughout the life of SBA's interest in the loan, under all of the Agency's business (non-disaster) loan programs. For purposes of this Systems of

Records Notice, “loan agents” means all “Agents” as defined in 13 CFR 103.1(a) that are involved in the business loan process (e.g., loan packagers, brokers, and referral agents).

CATEGORIES OF RECORDS IN THE SYSTEM INCLUDE:

Personal and commercial information (i.e., credit history, financial information, identifying number or other personal identifier, Form 159 information, compliance and enforcement information, and other exclusions) on individuals named in business loan files, including but not limited to Loan Agents, throughout the life of SBA’s interest in the loan, under all of the Agency’s business (non-disaster) loan programs.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES: These records and information in the records may be used, disclosed, or referred:

“d -- To the Federal, State, local or foreign agency or professional organization which investigates, prosecutes or enforces violations of statutes, rules, regulations or orders, or which undertakes procurement of goods or services, when SBA determines that disclosure will promote programmatic integrity or protect the public interest.”

* * *

“l –To SBA employees, contractors, interns, volunteers, and other regulators or legal authorities for the review of Loan Agent fees and activities and for the review of loans generated by Loan Agents (e.g. for performance and other trends). ”

“m – To GSA for publication of Loan Agent suspensions, revocations and exclusions under 13 CFR Part 103 in the Excluded Parties List System consistent with Executive Order 12549 and other applicable law. ”

“n – To SBA employees, contractors, interns, volunteers and other regulators for regulatory purposes.”

SYSTEM NAME: – SUSPENSION AND DEBARMENT FILES—SBA 36

SYSTEM LOCATION: Headquarters. *See* Appendix A.

SYSTEM MANAGER AND ADDRESS: Counsel to the Inspector General or designee; SBA Suspension and Debarment officials. *See* Appendix A.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM INCLUDE:

Individuals covered by the system include the parties who have been considered for, recommended for, or subject to (i) suspension and/or debarment under government-wide regulations or (ii) SBA Part 103 enforcement action (other than Loan Agents in SBA Business Loan Programs), and persons providing information relevant to these actions.

CATEGORIES OF RECORDS IN THE SYSTEM INCLUDE:

Records consist of materials compiled from investigations, audits, or other agency activities which identify violations which may be cause for suspension or debarment pursuant to the Federal Acquisition Regulations or the government-wide non-procurement suspension and debarment regulations or enforcement actions under Part 103 suspension or revocation actions. These materials include indictments, information, plea agreements, judgments, contract documents, program or loan applications, agency generated documents, etc., that pertain to a party’s participation in SBA government contract programs, SBA loan programs, and other SBA assistance.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM INCLUDING

CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES: These records and information in the records may be used, disclosed or referred:

“a. To the Federal, State, local or foreign agency or professional organization which investigates, prosecutes or enforces violations of statutes, rules, regulations or orders, or which undertakes procurement of goods or services, when the SBA determines that disclosure will promote programmatic integrity or protect the public interest.”

* * *

“o. To GSA for publication of suspensions, debarments, other enforcement actions, and exclusions by SBA in the Excluded Parties List System pursuant to Executive Order 12549 and other applicable law.”

Grady Hedgespeth
Director, Office Financial Assistance

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